

12-28-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42390.P10589

(maximum 12 characters)

First Named Inventor John W. MatesTitle: A METHOD AND APPARATUS FOR IMAGE SENSING USING AN INTEGRATED CIRCUIT-BASED COMPOUND EYEExpress Mail Label No. EL431882615US

ADDRESS TO: **Assistant Commissioner for Patents**  
**Box Patent Application**  
**Washington, D. C. 20231**

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.   X   **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original, and a duplicate for fee processing)
2.        **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3.   X   **Specification (Total Pages   37  )**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.   X   **Drawings(s) (35 USC 113) (Total Sheets   12  )**
5.   X   **Oath or Declaration (Total Pages   6  )**
  - a.   X   Newly Executed (Original or Copy)
  - b.        Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.        DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c.        Unsigned.
6.        **Application Data Sheet. (37 CFR 1.76)**
7.        **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8.        **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a.        Computer Readable Form (CRF)
  - b.        Specification Sequence Listing on:
    - i.        CD-ROM or CD-R (2 copies); or
    - ii.        paper
  - c.        Statement verifying identity of above copies

J1064 U.S. PTO

10/028455

12/19/01

### ACCOMPANYING APPLICATION PARTS

9. ☒ **Assignment Papers (cover sheet & documents(s))** ✓
10. ☐ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
- ☐ b. Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ a. Information Disclosure Statement (IDS)/PTO-1449
- ☐ b. Copies of IDS Citations
13. ☐ **Preliminary Amendment**
14. ☒ **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17. ☒ Other: Check in the amount of \$944.00

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)  
**Of Prior Application No.:** \_\_\_\_\_ **Examiner** \_\_\_\_\_ **Group Art Unit** \_\_\_\_\_  
 (which is a ☐ continuation/ ☐ divisional/ ☐ CIP of prior application no. \_\_\_\_\_,  
 which is a ☐ continuation/ ☐ divisional/ ☐ CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s):** Also include a Preliminary Amendment to amend the specification to claim priority.  
**For CONTINUATION AND DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is  
 the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an  
 assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_  
 (or a copy of which is attached).

**19. Correspondence Address**

☐ Customer Number or Bar Code Label \_\_\_\_\_  
 or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)

☒ Correspondence Address Below

NAME Cynthia Thomas Faatz

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

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Name (PRINT/TYPE): Cynthia Thomas Faatz

Registration No.: 39,973

Signature: Cynthia Thomas Faatz

Date: December 19, 2001

**FEE TRANSMITTAL FOR FY 2002****TOTAL AMOUNT OF PAYMENT (\$)** \$ 944.00**Complete if Known:****Application No.** Unassigned**Filing Date** Unassigned**First Named Inventor** John W. Mates**Group Art Unit** Unassigned**Examiner Name** Unassigned**Attorney Docket No.** 042390.P10589**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

**Deposit Account Number** 02-2666  
**Deposit Account Name** \_\_\_\_\_

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Check  
☐ Money Order  
☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description                    | Fee Paid |
|--------------|----------|--------------|----------|------------------------------------|----------|
| Code         | Fee (\$) | Code         | Fee (\$) |                                    |          |
| 101          | 740      | 201          | 370      | Utility application filing fee     | 740.00   |
| 106          | 330      | 206          | 165      | Design application filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee                   |          |
| 108          | 740      | 208          | 370      | Reissue filing fee                 |          |
| 114          | 160      | 214          | 80       | Provisional application filing fee |          |

**SUBTOTAL (1)** \$ 740.00**2. EXTRA CLAIM FEES**

|                    |          | Extra Claims |          | Fee from below |              | Fee Paid |               |
|--------------------|----------|--------------|----------|----------------|--------------|----------|---------------|
| Total Claims       |          | - 20** =     |          | X              |              | =        |               |
| <u>22</u>          |          |              | <u>2</u> | X              | <u>18.00</u> | =        | <u>36.00</u>  |
| Independent Claims | <u>5</u> | - 3** =      | <u>2</u> | X              | <u>84.00</u> | =        | <u>168.00</u> |
| Multiple Dependent |          |              |          |                |              | =        |               |

**\*\*Or number previously paid, if greater; For Reissues, see below.**

| Large Entity |          | Small Entity |          | Fee Description   |
|--------------|----------|--------------|----------|---|
| Code         | Fee (\$) | Code         | Fee (\$) |   |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                    |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                         |
| 104          | 280      | 204          | 140      | Multiple dependent claim, if not paid                     |
| 109          | 84       | 209          | 42       | **Reissue independent claims over original patent         |
| 110          | 18       | 210          | 9        | **Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** \$ 204.00

# FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| <u>Large Entity</u> |                 | <u>Small Entity</u> |                 | <u>Fee Description</u>   | <u>Fee Paid</u> |
|---------------------|-----------------|---------------------|-----------------|--|-----------------|
| <u>Code</u>         | <u>Fee (\$)</u> | <u>Code</u>         | <u>Fee (\$)</u> |  |                 |
| 105                 | 130             | 205                 | 65              | Surcharge - late filing fee or oath  |                 |
| 127                 | 50              | 227                 | 25              | Surcharge - late provisional filing fee or cover sheet                     |                 |
| 139                 | 130             | 139                 | 130             | Non-English specification  |                 |
| 147                 | 2,520           | 147                 | 2,520           | For filing a request for ex parte reexamination                            |                 |
| 099                 | 8,800           | 099                 | 8,800           | Request for inter parties reexamination                                    |                 |
| 112                 | 920*            | 112                 | 920*            | Requesting publication of SIR prior to Examiner action                     |                 |
| 113                 | 1,840*          | 113                 | 1,840*          | Requesting publication of SIR after Examiner action                        |                 |
| 115                 | 110             | 215                 | 55              | Extension for reply within first month                                     |                 |
| 116                 | 400             | 216                 | 200             | Extension for reply within second month                                    |                 |
| 117                 | 920             | 217                 | 460             | Extension for reply within third month                                     |                 |
| 118                 | 1,440           | 218                 | 720             | Extension for reply within fourth month                                    |                 |
| 128                 | 1,960           | 228                 | 980             | Extension for reply within fifth month                                     |                 |
| 119                 | 320             | 219                 | 160             | Notice of Appeal   |                 |
| 120                 | 320             | 220                 | 160             | Filing a brief in support of an appeal                                     |                 |
| 121                 | 280             | 221                 | 140             | Request for oral hearing   |                 |
| 138                 | 1,510           | 138                 | 1,510           | Petition to institute a public use proceeding                              |                 |
| 140                 | 110             | 240                 | 55              | Petition to revive - unavoidable   |                 |
| 141                 | 1,280           | 241                 | 640             | Petition to revive - unintentional   |                 |
| 142                 | 1,280           | 242                 | 640             | Utility issue fee (or reissue)   |                 |
| 143                 | 460             | 243                 | 230             | Design issue fee   |                 |
| 144                 | 620             | 244                 | 310             | Plant issue fee  |                 |
| 122                 | 130             | 122                 | 130             | Petitions to the Commissioner  |                 |
| 123                 | 50              | 123                 | 50              | Processing fee under 37 CFR 1.17(q)  |                 |
| 126                 | 180             | 126                 | 180             | Submission of Information Disclosure Stmt                                  |                 |
| 581                 | 40              | 581                 | 40              | Recording each patent assignment per property (times number of properties) |                 |
| 146                 | 740             | 246                 | 370             | For filing a submission after final rejection (see 37 CFR 1.129(a))        |                 |
| 148                 | 110             | 248                 | 55              | Statutory Disclaimer   |                 |
| 149                 | 740             | 249                 | 370             | For each additional invention to be examined (see 37 CFR 1.129(b))         |                 |
| 179                 | 740             | 279                 | 370             | Request for Continued Examination (RCE)                                    |                 |
| 169                 | 900             | 169                 | 900             | Request for expedited examination of a design application                  |                 |
| 195                 | 300             | 195                 | 300             | Publication fee for early, voluntary, or normal pub.                       |                 |
| 196                 | 300             | 196                 | 300             | Publication fee for republication  |                 |
| 194                 | 130             | 194                 | 130             | Request for voluntary publication or republication                         |                 |
| 098                 | 130             | 098                 | 130             | Processing fee under 37 CFR 1.17(i) (except provisionals)                  |                 |
| 091                 | 1,280           | 091                 | 1,280           | Acceptance of unintentionally delayed claim for priority                   |                 |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$0**

\*Reduced by Basic Filing Fee Paid

### SUBMITTED BY:

Typed or Printed Name: Cynthia Thomas Faatz

Signature: Cynthia Thomas Faatz

Date: December 19, 2001

Reg. Number: 39,973

Telephone Number: 408-720-8300